

06/19/00

JC813 U.S. PTO

Express Mail Label No. EI201195065US

Docket No.: LOT9 2000 0012 US1

NEW UTILITY PATENT APPLICATION TRANSMITTAL**(Large Entity)***(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Total Pages this Submission: 3

TO THE ASSISTANT COMMISSIONER FOR PATENTSBox Patent Application
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:
SYSTEM AND METHOD FOR DOWNLOADING SECURITY CONTEXT ELEMENTS GOVERNING EXECUTION OF DOWNLOADABLE AND DISTRIBUTABLE AGENTS

and invented by:

SUZE BERTHOLD, JOHN D. IMMERMAN, CHARLES W. KAUFMAN, CARL J. KRAENZEL

If a CONTINUATION APPLICATION, check the appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application
No.: _____

Enclosed are:

Application Elements

01. ☒ Filing fee as calculated and transmitted as described below
02. ☒ Specification having 144 pages and including the following:
- a. ☒ Descriptive Title of the Invention
 - b. ☒ Cross References to Related Applications (if applicable)
 - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
 - d. ☐ Reference to Microfiche Appendix (if applicable)
 - e. ☒ Background of the Invention
 - f. ☒ Brief Summary of the Invention
 - g. ☒ Brief Description of the Drawings (if drawings filed)
 - h. ☒ Detailed Description
 - i. ☒ Claim(s) as Classified Below
 - j. ☒ Abstract of the Disclosure
03. ☒ Drawing(s) when necessary as prescribed by 35 USC 113)
- a. ☐ Formal
 - b. ☒ Informal

Number of sheets: 24

JC855 U.S. PTO

09/596292

06/19/00

NEW UTILITY PATENT APPLICATION TRANSMITTAL
(Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Total Pages this Submission: 3

Application Elements (Continued)

04. ☒ Oath or Declaration

- a. ☐ Newly executed (original or copy) ☒ Not executed
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☒ With Power of Attorney ☐ Without Power of Attorney

05. ☐ Incorporation By Reference (usable if box 4b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Item 4b, is considered as being part of the disclosure of accompanying application and is hereby incorporated by reference therein.

06. ☐ Computer Program in Microfiche (Appendix)

07. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all must be included)

- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy (identical to computer copy)
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

Accompanying Application Parts

08. ☐ Assignment Papers (cover sheet & document(s))
09. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS citation
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
- ☐ First Class ☒ Express Mail (Label No: EI201195065US)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

000150 20000050

(Only for new nonprovisional applications under 37 CFR 1.53(b)

Accompanying Application Parts (Continued)

Fee Calculation and Transmittal

For	# Filed	# Allowed	# Extra	Rate	Fee
Total Claims	14	-20	0	x \$18.00	\$
Indep. Claims	6	- 3	3	x \$78.00	\$ 234.00
Multiple Dependent Claims					\$

Other FEE (Specify purpose)

☐ A check in the amount of \$ _____ to cover the filing fee is enclosed.

■ The Commissioner is hereby authorized to charge and credit IBM Corporation Deposit Account No. 12-2158 as described below. A duplicate copy of this sheet is enclosed.

☒ Charge the amount of \$924.00 as filing fee.

☐ Credit any overpayment.

☐ Charge any additional filing fees as required under 37 C.F.R. 1.16 and 1.17.

☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Shelley J. Beckstrand
Signature

Shelley M Beckstrand
Reg. No. 24,886

314 Main Street
Owego, NY 13827-1616
Phone: (607) 687-9913

Page 3 of 3

Docket No. LOT9 2000 0012 US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: S. Berthold et al
 Serial No.: N/A Group No.: N/A
 Filed: HEREWITH Examiner: N/A
 For: System and Method for Downloading Security Context Elements Governing Execution of
 Downloadable and Distributable Agents

Assistant Commissioner For Patents
 Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number: EI201195065US

Date of Deposit: 19 JUNE 2000

I hereby certify that the following attached paper or fee

New Utility Patent Application Transmittal
 Specification: 144 pages (including claims)
 Declaration and Power of Attorney
 Drawings (24 sheets)
 Express Mail Certificate
 Postcard

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231-9998.

JUDITH A. BECKSTRAND

(Name of person mailing paper or fee)

Judith A. Beckstrand
 (Signature of person mailing paper or fee)

NOTE: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g., complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

NOTE: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail". Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings, it is suggested that the label number be placed on the back of each formal drawing or the drawings be accompanied by a set of informal drawings on which the label number is placed.

a:\certESPRESSmail.wpd

06/19/00
 JCE13 U.S. PTO

09595202 1051000